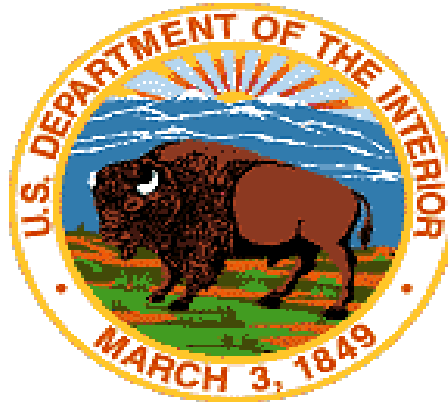


SES/SL/ST PERFORMANCE CLOSEOUT FOR FY-2016





GENERAL INFORMATION

CLOSEOUT INFORMATION

- Ratings are due in the Office of Executive Resources, Room 4346, Main Interior Building, by **COB, Thursday, November 10, 2016.**
- Performance forms and information can be found at the SES Toolbox

<https://www.doi.gov/pmb/hr/SES-Toolbox>



COMMUNICATING THE RATING

- Rating officials are to communicate their rating recommendation to the executive.
- Recognition recommendations are not to be communicated until the Executive Resources Board makes their final decisions.
- Any requests for a higher level review must be made within 10 working days of employee's receipt of the appraisal.



PERFORMANCE REVIEW BOARDS

- Performance Review Boards (PRB) review all SES performance appraisals and make recommendations to the Executive Resources Board (ERB) on rating levels and recognition.
- PRBs will convene in November.



RECORDING RECOMMENDATIONS

- Rating Official and/or Bureau Heads are initial recommending officials for ratings and performance recognition (in consultation with the appropriate Assistant Secretary).
- PRBs review ratings and recognition recommendations made at the Bureau level.
- PRB Chairperson makes recommendation to 1) concur with or 2) record any suggested changes to the initial rating or recognition proposed.
- PRB Chair records panel recommendation for rating level on appraisal form.



RECORDING RECOMMENDATIONS (CONTINUED)

- Bureau and PRB recommendations are provided to the Assistant Secretaries/equivalent officials.
- Assistant Secretaries/equivalent officials provide their recommendations to the ERB.
- The ERB is designated by the Secretary to make final decisions on SES ratings and recognition.
- Results will be communicated in writing to Assistant Secretaries and Bureau Heads.





SES PERFORMANCE CLOSEOUT

SES ACCOMPLISHMENT NARRATIVE

- Accomplishment narrative write up is to be documented in Section 7 ONLY of the DI-2011 form.
- Section 7 is expandable but please limit accomplishment narrative to 2-3 pages.
- While the form indicates that this is an optional field, executives are **HIGHLY ENCOURAGED** to provide accomplishments consistent with our past practice.
- Do not modify the form to add additional fields or sections.



TIPS FOR WRITING SES PERFORMANCE ACCOMPLISHMENTS

- While there is no specific format, accomplishments can be addressed by either:
 - Addressing each performance element individually, OR
 - Tell your story of accomplishments, ensuring that you address all performance elements
- Focus on the results you achieved
- Use key words (but not jargon) to clearly link to the level of performance demonstrated
- Prioritize achievements
 - Describe the conditions under which you achieved your accomplishments
 - If you overcame challenges, describe them
- Write in the past tense
- Write in first person (e.g., “I”, “me”, “my”)
- Describe why your accomplishments matter (impact)
- Be succinct



SES SUMMARY RATING NARRATIVE

- Rating officials are required to provide a summary rating narrative in Part 6 to justify and support the overall rating for the executive.
- Section 6 is expandable but please limit summary rating narrative to 2-3 pages.



DERIVING THE RESULTS DRIVEN ELEMENT RATING

- **Rating Officials will determine the overall rating for the Results Driven element as follows:**
 - **Outstanding** – A majority of the performance requirements for the Results Driven element are rated Outstanding.
 - **Exceeds Fully Successful** – A majority of the performance requirements for the Results Driven element are rated at least Exceeds Fully Successful with none below Fully Successful.
 - **Fully Successful** – A majority of the performance requirements for the Results Driven element are rated at Fully Successful with none below Fully Successful.
 - **Minimally Satisfactory** – One or more performance requirements for the Results Driven element are rated at Minimally Satisfactory with none below Minimally Satisfactory.
 - **Unsatisfactory** – One or more performance requirements for the Results Driven element are rated at Unsatisfactory.
- If the performance requirements are equally divided between Outstanding and Exceeds Fully Successful, then the overall rating will be at the Exceeds Fully Successful level. If the performance requirements are equally divided between Exceeds Fully Successful and Fully Successful, the overall rating will be at the Fully Successful level.



DERIVING THE INITIAL SUMMARY RATING

1. Appraise each Critical Element and assign the corresponding points for the performance level.

- Level 5 = 5 points
- Level 4 = 4 points
- Level 3 = 3 points
- Level 2 = 2 points
- Level 1 = 0 points

(Note: If any Critical Element is rated Level 1, the overall Summary Rating is Level 1 - Unsatisfactory)



DERIVING THE INITIAL SUMMARY RATING

2. Derive the initial point score for each Critical Performance Element by multiplying the performance level point value by the assigned weight.

- E.g., “Leading People” assigned Level 4 (4 points) and is weighted 20% X initial point score = 80.

3. Derive the total point score by adding the initial point score from each Critical Element.



DERIVING THE INITIAL SUMMARY RATING

4. Assign the Initial Summary Rating using these ranges.

- 475 – 500 = Level 5 (Outstanding)
- 400 – 474 = Level 4 (Exceeds Fully Successful)
- 300 – 399 = Level 3 (Fully Successful)
- 200 – 299 = Level 2 (Minimally Satisfactory)
- Any Critical Element rated Level 1 = Level 1 (Unsatisfactory)



DERIVING THE INITIAL SUMMARY RATING

Example

Critical Element	Element Rating	Weight	Score
	Initial Element Score		Initial Point Score
1. Leading Change	4	20	$4 \times 20 = 80$
2. Leading People	5	10	$5 \times 10 = 50$
3. Business Acumen	3	10	$3 \times 10 = 30$
4. Building Coalitions	4	10	$4 \times 10 = 40$
5. Results Driven	4	50	$4 \times 50 = 200$
Total		100%	400

**A total point score of 400 yields a Level 4
Summary Rating**



DERIVING THE INITIAL SUMMARY RATING

Example

Critical Element	Element Rating	Weight	Score
	Initial Element Score		Initial Point Score
1. Leading Change	5	20	$5 \times 20 = 100$
2. Leading People	5	10	$5 \times 10 = 50$
3. Business Acumen	4	10	$4 \times 10 = 40$
4. Building Coalitions	5	10	$5 \times 10 = 50$
5. Results Driven	5	50	$5 \times 50 = 250$
Total		100%	490

**A total point score of 490 yields a Level 5
Summary Rating**





SL/ST PERFORMANCE CLOSEOUT

SL/ST SUMMARY OF ACCOMPLISHMENTS

- Summary of accomplishments are to be provided in Part IV of the DI-2002 SL/ST Performance Appraisal Form.
- Accomplishments must be provided for each element.
- You are limited to space provided in the form.



SUPERVISOR'S JUSTIFICATION FOR RATING

- Supervisor's must provide a rating for each element and a written justification for each element rated.
- Written justifications should clearly support the rating.



DERIVING THE SUMMARY RATING

- Element ratings are summarized on Part IV of the appraisal form.
- Ratings are derived based on the formula below:
 - **Exceptional** - Rated Exceptional on 75% or more of the elements; no elements rated below Superior.
 - **Superior** - Rated Superior on 75% or more of the elements; no elements rated below Fully Successful.
 - **Fully Successful** - Rated Fully Successful or higher on all elements.
 - **Minimally Successful** - Rated Minimally Successful on one or more elements, no elements are rated Unsatisfactory.
 - **Unsatisfactory** - Rated Unsatisfactory on any element.



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